



10-28-02

RCE/2800

PTO/SB/30 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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REQUEST FOR CONTINUED EXAMINATION (RCE) TRANSMITTAL

Subsection (b) of 35 U.S.C. § 132, effective on May 29, 2000, provides for continued examination of an utility or plant application filed on or after June 8, 1995.
See The American Inventors Protection Act of 1999 (AIPA).

Application Number	09/904,162
Filing Date	July 11, 2001
First Named Inventor	Yuhzoh TSUDA, et al.
Group Art Unit	2813
Examiner Name	D. Blum
Attorney Docket No.	299002048410

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This is a Request for continued Examination (RCE) under 37 C.F.R. § 1.114 of the above-identified application.

NOTE: 37 C.F.R. § 1.114 is effective on May 29, 2000. If the above identified application was filed prior to May 29, 2000, applicant may wish to consider filing a continued prosecution application (CPA) under 37 C.F.R. § 1.53(d) (PTO/SB/29) instead of a RCE to be eligible for the patent term adjustment provisions of the AIPA. See Changes to Application Examination and Provisional Application Practice, Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office 47 (Apr. 11, 2000), which established RCE practice.

1. Submission required under 37 C.F.R. § 1.114

- a. ☐ Previously submitted
- i. ☐ Consider the amendment(s)/reply under 37 C.F.R. § 1.116 previously filed on *
(Any unentered amendment(s) referred to above will be entered)
- ii. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on *
- iii. ☐ Other:
- b. ☒ Enclosed
- i. ☒ Amendment/Reply (15 Pages)
- ii. ☐ Affidavit(s)/Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☒ Other: Fee Transmittal w/duplicate copy for fee processing (2 Pages)

2. Miscellaneous

- a. ☐ Suspension of action on the above-identified application is requested under 37 C.F.R. § 1.1039c) for a period of * months. (Period of suspension shall not exceed 3 months; Fee under 37 C.F.R. § 1.17(l) required)
- b. ☒ Other: Return Receipt Postcard

3. Fees

The RCE fee under 37 C.F.R. § 1.17(e) is required by 37 C.F.R. § 1.114 when the RCE is filed.

- a. ☒ The Director is hereby authorized to charge the following fees, or credit any overpayments, to Deposit Account No. 03-1952 referencing attorney docket no. 299002048410. (Copy Fee Transmittal attached)
- i. ☒ RCE fee required under 37 C.F.R. § 1.17(e); RCE=\$740.00; 2 Add'l Ind. Claims=\$204; Total \$944.00
- ii. ☐ Extension of time fee (37 C.F.R. §§ 1.136 and 1.17)
- iii. ☐ Other:
- b. ☐ Check in the amount of \$* enclosed
- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print/Type)	Ararat Kapouytian	Registration No.	40,044
Signature	Ararat Kapouytian	Date	October 25, 2002

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

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Chase Trombella

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



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PATENT

Docket No. 299002048410

Client Reference F5-0136566/98R00662-1/US/END

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Chase Trombella

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Yuhzoh TSUDA, et al.

Serial No.: 09/904,162

Filing Date: July 11, 2001

For: SEMICONDUCTOR SUBSTRATE,
LIGHT-EMITTING DEVICE, AND
METHOD FOR PRODUCING THE
SAME

Examiner: D. Blum

Group Art Unit: 2813

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PRELIMINARY AMENDMENT

Assistant Commissioner for Patents
Box RCE
Washington, D.C. 20231

Dear Sir:

Please note that a Notice of Appeal was timely filed in this matter on October 21, 2002.

Therefore, this Preliminary Amendment and the accompanying Request for Continued

Examination are timely filed. Prior to examination on the merits, please amend this application
as follows.

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